

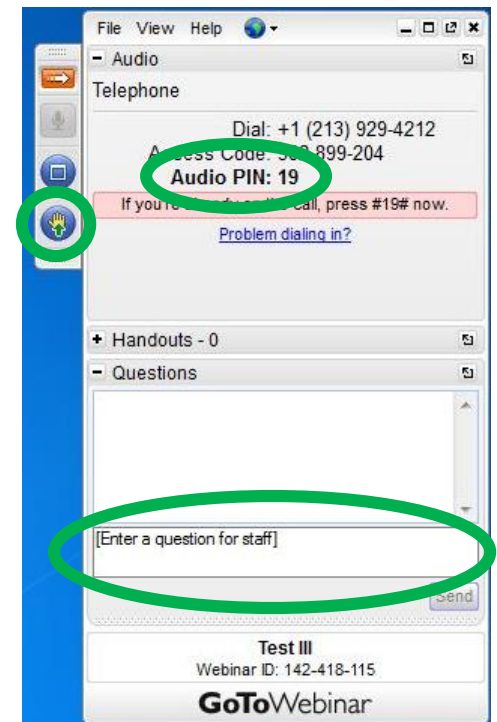
UPWP Requirements & MPO Agreement Training

**FDOT Office of Policy Planning
FDOT Office of Comptroller**

December 17, 2015

Webinar Intro

- All participants are muted.
- Opportunities for question & answer.
 - Ask questions via the Question pod at any time.
- “Raise Hand” to indicate desire to ask a question orally.
 - For telephone users: the audio pin must be entered prior to the organizer being able to unmute you (see example).
- This webinar is being recorded.



Webinar Intro

- Guidance documents, templates, presentations, recordings, etc.

The screenshot shows the FDOT website with the following elements:

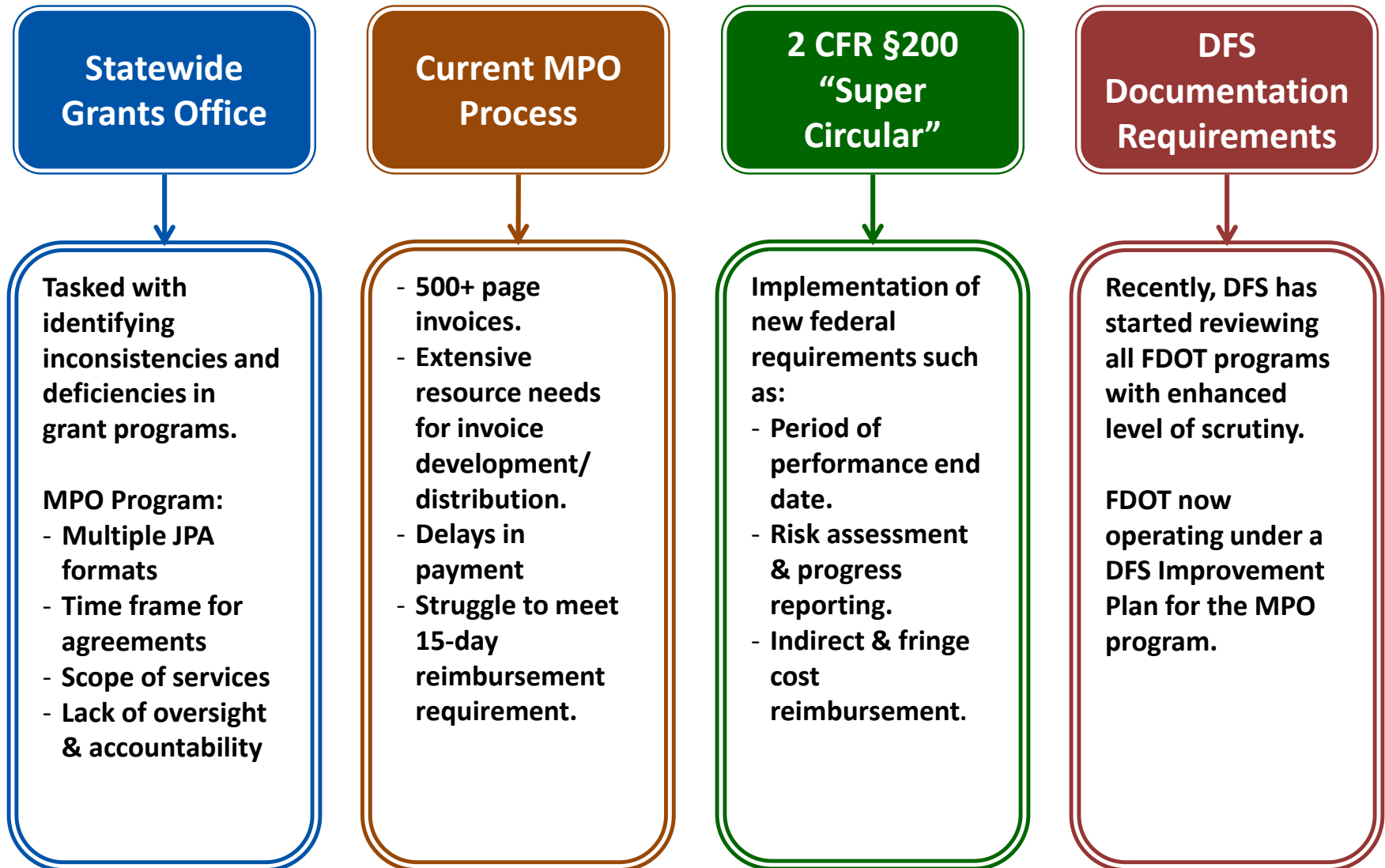
- Header:** Centennial FDOT 1915 ★ 2015 logo, Florida Department of TRANSPORTATION, E-Updates | FL511 | Mobile | Site Map, and a search bar.
- Navigation:** Home, About FDOT, Contact Us, Maps & Data, Offices, Performance, Projects.
- Section:** Office of Policy Planning
- Sub-section:** Policy Planning / Programs & Services / Metropolitan and Regional Planning Support
- Image:** A small image of a red flower.
- About:** The Office of Policy Planning (OPP) coordinates its work with Metropolitan Planning Organizations (MPOs), and federal, state and local agencies. The documents and programs listed on this page are a result of this coordination.
- Documents, Programs and Information:**
 - 2015 Federal Planning Finding
 - Joint-MPO Certification Program
 - MPO Statements and Assurances
 - MPO Agreement & Invoicing Process (highlighted with a green circle)
 - TRIP - Transportation Regional Incentive Program
 - Map of MPO Boundaries and Designated Transportation Management Areas (TMAs)
 - 2010 Census County Maps (New)
 - TIP/S TIP Amendments
 - FDOT/FHWA Consistency Guidance
 - LRTP Issues
 - Planning (PL) Funds
 - TMA Information
 - Events
 - 2015 Annual Statewide Meeting
 - 2014 Annual Statewide Meeting

Agenda

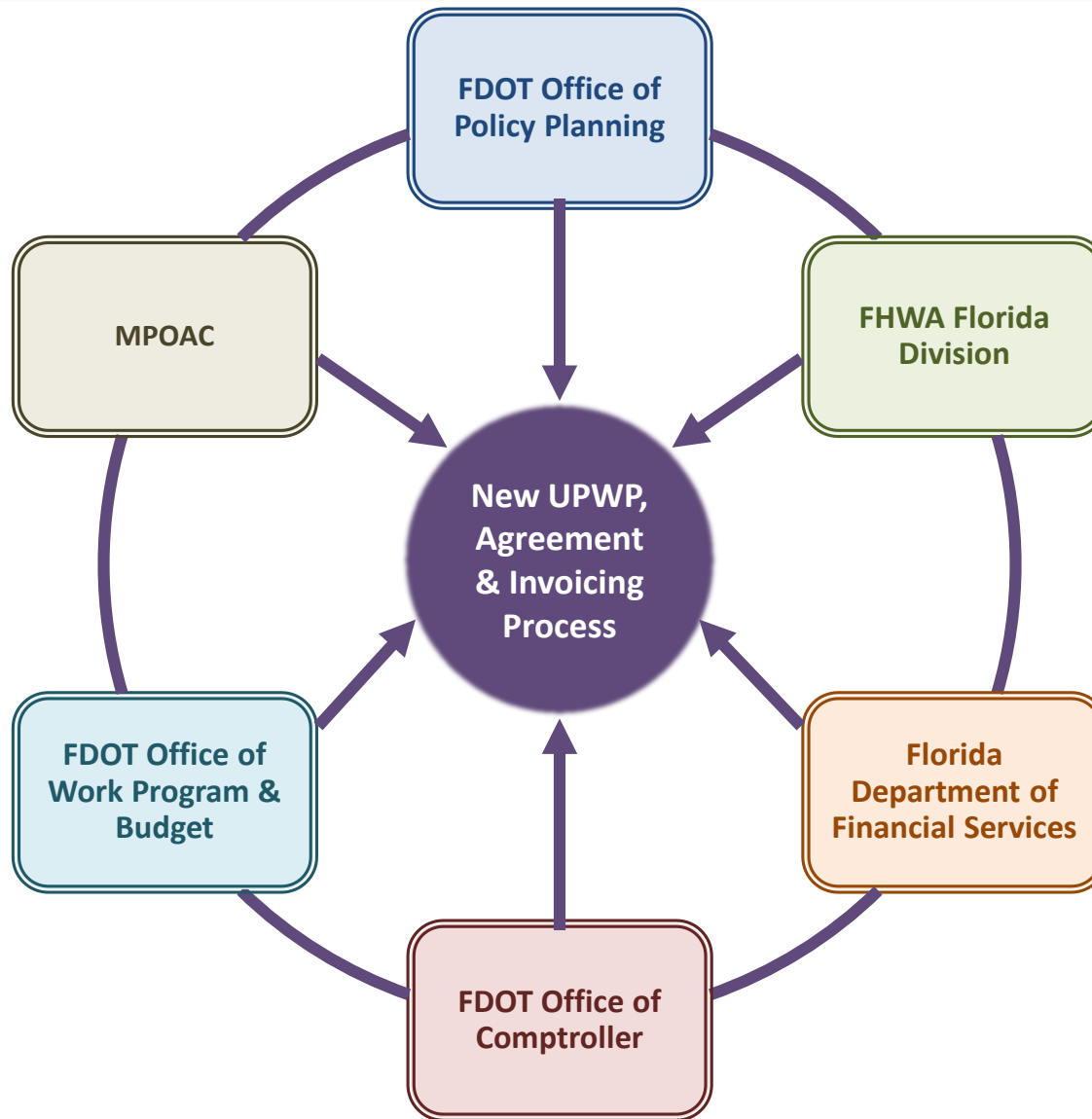
- Background
- UPWP
 - Overview
 - UPWP Elements
 - UPWP Development, Review, and Approval
- MPO Agreement
- Next Steps

Background

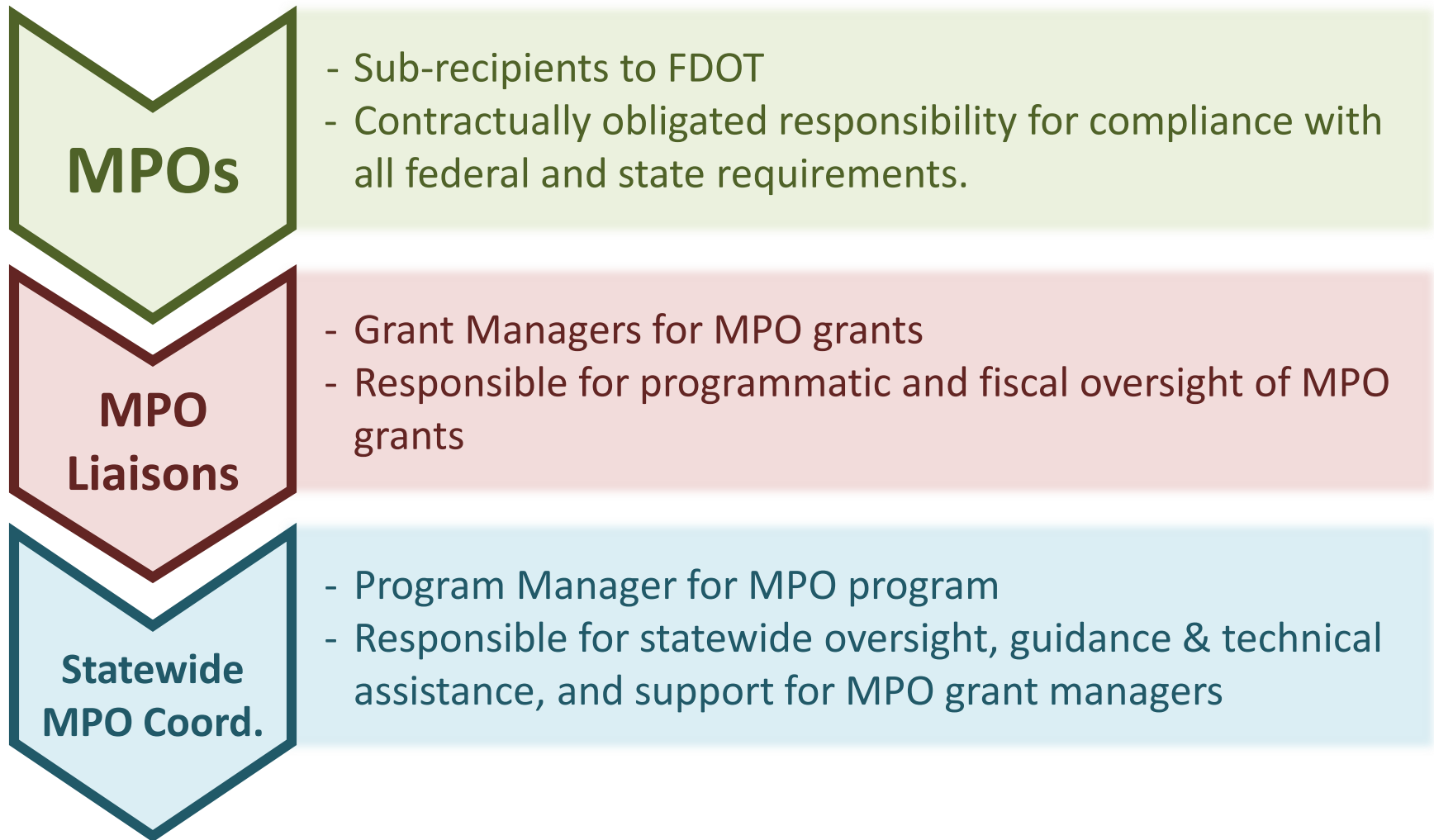
How We Got Here



Process Development



Roles & Responsibilities



Clarifying Points

- “Agreement” means the contract between the Department and the MPO for the pass-through of federal (FHWA) financial assistance to the MPO for completion of the metropolitan transportation planning tasks described in the UPWP.
- Moving forward...
 - The following changes are only applicable to FHWA fund sources (i.e. PL, SU, etc.) being passed-through to the MPO for metropolitan planning purposes.
 - The following improvements will take effect on July 1, 2016.

Summary of Changes

- New, 2-year MPO Agreement
 - Effective dates align with the UPWP cycle.
 - UPWP will act as the scope of services.
- UPWP
 - Must include **all** federal and matching fund sources being used for metropolitan planning purposes.
 - Each task in the UPWP must include an Estimated Budget Detail and Cost Analysis.
 - Changes to UPWP amendment thresholds.
- New programming processes.
- New invoicing & monitoring processes.



Unified Planning Work Program (UPWP)

UPWP Overview



- Federally-required one- or two-year (two-year in Florida) statement of work, identifying the planning priorities and planning activities to be carried out in the metropolitan area.
- As per 23 CFR §450.308(c):
 - The UPWP shall identify work proposed for the next one- or two-year period by major activity and task (including activities that address the planning factors in §450.306(a)), in sufficient detail to indicate:
 - who (e.g., MPO, State, public transportation operator, local government, or consultant) will perform the work,
 - the schedule for completing the work,
 - the resulting products,
 - the proposed funding by activity/task,
 - and a summary of the total amounts and sources of Federal and matching funds.

UPWP Task Examples - Current



Unified Planning Work Program
FY 2014/15 – FY 2015/16

Task 1.2 UPWP Development

Objective

To implement the FY 2014/15 – FY 2015/16 UPWP and develop the FY 2016/17 – FY 2017/18 UPWP which summarizes a program of planning activities and the financial support for those activities.

Previous Work

Staff prepared the FY 2012/13 - FY 2013/14 UPWP, adopted by the TPO on April 4, 2012, and is preparing this UPWP. Staff coordinated with Martin and Indian River County MPOs on development of our respective UPWPs.

Methodology

This task includes the development of the FY 2016/17 – FY 2017/18 UPWP which will be conducted similarly to the process summarized in Section I for this UPWP. This task also includes preparing and processing budget revisions or task amendments to this UPWP, as needed. In addition, this task includes coordination with Martin and Indian River County MPOs on implementation and development of our respective UPWPs.

Activities and End Products/Target Dates

FY 2016/17 – FY 2017/18 UPWP Kickoff Meeting	January 2016
Review by Advisory Committees and Board	March 2016
Transmittal to FDOT	March 2016
Public Comment Period	March/April 2016
Adoption by Board	April 2016
Transmittal to FHWA and FTA	May 2016
UPWP Amendments	As needed

Responsible Agencies

St. Lucie TPO

Participating Agencies: FDOT, FHWA, FTA, FAA, local governments and neighboring MPOs

Funding Sources

FY 2014/15	\$1,000
FHWA (PL)	
FY 2015/16	\$10,000
FHWA (PL)	

TASK 2.1 Congestion Management & Crash Mitigation Planning

OBJECTIVE: Participate in planning and funding an integrated and inter-operable Intelligent Transportation System (ITS) within Hillsborough County. Maintain the Congestion Management/Crash Mitigation Process (CMCMP) for Hillsborough County, to be coordinated with the rest of the region and the state. Include an analysis of crash events and patterns, and effect on transportation system effectiveness. Examine travel patterns and system performance data in Hillsborough County and develop, prioritize, and recommend effective and achievable strategies to increase mobility within corridors and sub-areas.

PLANNING FACTORS: 1, 2, 3, 4, 5, 6, 7, 8

PREVIOUS WORK:

Completed

- ✓ Update of ITS Master Plan Phase II (2013)
- ✓ Lane Operations Strategies: Best Practices and Local Applicability Strategies (2013)
- ✓ Crash Severity Reduction Best Practices and Local Applicability (2013)
- ✓ Lane Operations – Bruce B. Downs HOV Feasibility Study (2013)
- ✓ Crash Severity Reduction – East Hillsborough Ave. Corridor Study (2013)
- ✓ CMCMP Process Update and Performance Report (2012)
- ✓ Columbus Dr/17th/18th Streets Redesign Study (January 2015)

Ongoing

- ✓ Identify candidate projects for consideration in the 2040 Cost Affordable Plan
- ✓ Update/maintain new version of Transportation Inventory Database
- ✓ Participation in Community Traffic Safety Team for Hillsborough County

METHODOLOGY:

Update the CMCMP Process and Performance Report, integrating the goals and performance metrics of the LRTP, and consistent with evolving federal and state guidance for evaluating performance and setting targets.

Maintain the ITS Comm performance measures

Conduct feasibility study Performance Report and include Gunn Hwy, Tarl Fowler Ave., and Bloom committees.

Coordinate the operation as an integrated system Architecture as needed

Maintain and update, a TIP by identifying, prior operations, security, and

Integrate crash analysis Evaluate the effectiveness

Analyze arterial travel Include CMCMP prior to congestion, maintain

Assist local government Seek public input in up

FY 2015 & 2016 UPW

Produce, publish, and distribute informational material outlining CMCMP recommendations. Participate in Hillsborough Community Traffic Safety Team. Apply for grants as appropriate.

Produce and distribute safety educational materials.

Travel to and participate in necessary workshops/meetings.

Consultants may assist with these tasks.

STP and/or PL funds may be used to collect & analyze data and prepare plans in support of these tasks.

END PRODUCTS:

Updates to Hillsborough County portion of Tampa Bay Regional ITS Architecture (as needed)

Prioritized projects for consideration in LRTP and TIP (Annually, Summer)

CMCMP Strategy Feasibility Studies of corridors or sub-areas (Spring 2015 and Spring 2016)

Updated CMCMP System Performance Report (Spring 2016)

Assist agencies in implementing management systems and CMCMP recommendations (Ongoing)

Public outreach to advance the CMCMP, including safety education and other brochures, pamphlets and other printed collateral products recommended in CMP studies (as needed)

(Note: see page 23 for Fiscal Year Nomenclature)

RESPONSIBLE AGENCIES:

MPOs, FDOT, HART, Hillsborough County, City of Tampa, and other agencies on the CMS Steering Committee

(*) Lead Agency

Funding Sources - Task 2.1			
	Year 1 (2014/15)	Year 2 (2015/16)	
FHWA PL - Staff	\$ 17,000	\$ 16,890	
FTA Sec 5305(d)	\$ 37,477	\$ 50,000	
FTA Sec 5305(d) State Match	\$ 44,808	\$ 36,208	
FTA Sec 5305(d) Local Match	\$ 5,601	\$ 4,401	
STP	\$ 5,601	\$ 4,401	
TOTAL	\$ 190,000	\$ 268,893	
	\$ 300,487	\$ 379,893	

Year 2 funding is illustrative until approved by the Florida Legislature and other governing bodies.

UPWP & MPO Agreement

- CFO Memorandum No. 02 (2012-2013):

AGREEMENTS FUNDED BY STATE AND/OR FEDERAL FINANCIAL ASSISTANCE

Section 215.971, F.S., requires agreements that are funded by state and/or federal financial assistance include provisions related to scope of work and deliverables. Agreements executed on or after July 1, 2010, are required to include:

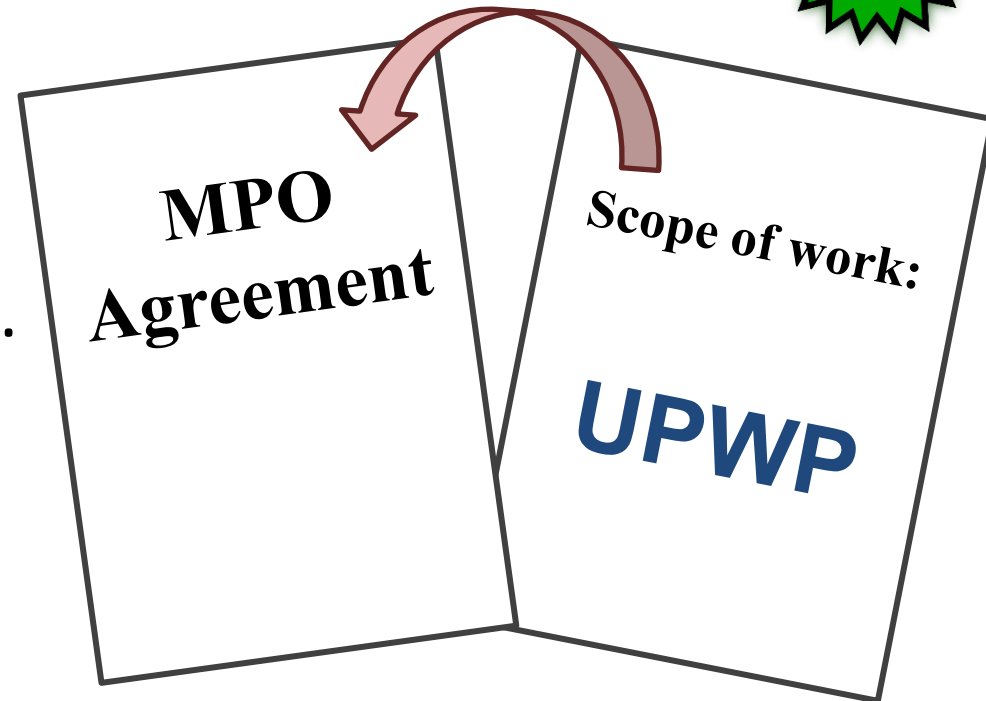
- A scope of work that clearly establishes all of the specific tasks the recipient/subrecipient is required to perform
- Documentation required to be maintained by the recipient/subrecipient to evidence the completion of the tasks
- Specific deliverables that must be provided and accepted prior to payment. Deliverables must be quantifiable, measurable and verifiable. Each deliverable must be directly related to a task specified in the scope of work and must identify the minimum level of service to be performed. Agencies should not confuse reports with deliverables. Reports usually are not deliverables. Rather, a report is the means to attest to the tasks performed during a given period of time.
- Specified criteria that will be used to determine the recipient/subrecipient's successful performance.

UPWP!

UPWP & MPO Agreement

NEW

- The UPWP will act as the scope of work for the MPO Agreement.
- **Deliverable:** a month/quarter of services provided.
- Minimum level of service is determined by completion of the tasks in the UPWP, as documented by the progress report and determined by the MPO Liaison.



UPWP & MPO Agreement



- 216.3475, Florida Statutes:

“A person or entity that is designated by the General Appropriations Act, or that is awarded funding on a noncompetitive basis, to provide services for which funds are appropriated by that act may not receive a rate of payment in excess of the competitive prevailing rate for those services unless expressly authorized in the General Appropriations Act. Each agency shall maintain records to support a **cost analysis**, which includes a **detailed budget submitted by the person or entity awarded funding** and the agency’s **documented review of individual cost elements** from the submitted budget for allowability, reasonableness, and necessity.”

- CFO Memorandum No. 02 (2012-2013):

COST ANALYSIS REQUIRED BY SECTION 216.3475. FLORIDA STATUTES

Section 216.3475, F.S., requires agencies to maintain records to support a **cost analysis** for service agreements, executed on or after July 1, 2010, which were awarded on a noncompetitive basis. **Detailed budgets are required to be submitted by the person or entity awarded funding in excess of Category II and must be reviewed by the agency.** The attached Cost Analysis form and instructions are to be used to **document an agency’s review of the detailed budget.** If an agency already has an existing form which it desires to use, the form must be submitted to the Bureau for review and approval.

- Each UPWP task must contain an *Estimated Budget Detail* (by state fiscal year), which must be reviewed by the MPO Liaison (the *Cost Analysis*).

UPWP Elements

UPWP Elements

- The UPWP should consist of six elements:
 - Cover Page
 - Introduction
 - Organization & Management
 - UPWP Work Tasks
 - Summary Budget Tables
 - Appendices

Cover Page

- The Cover Page must include:
 - Name of the MPO
 - Catalog of Federal Domestic Assistance Number(s) (CFDA)
 - Identification of agencies providing funds for the UPWP
 - Federal Award Identification Number (FAIN) – *from the Federal Aid Management Office*
 - Financial Project Number (FPN) – *this is the FM number*
 - State fiscal years the UPWP covers
 - MPO website and contact information

Introduction

- The Introduction section must include:
 - A brief definition of the UPWP;
 - A current overview of the status of transportation planning activities;
 - A discussion of the planning priorities for the metropolitan planning area, as well as local priorities;
 - A description of air quality related planning activities (only applicable to non-attainment areas);

Introduction (cont.)



- (Cont.) The Introduction section must include:
 - Planning tasks to be performed with funds provided under title 23 USC and title 49 USC Chapter 53;
 - A description of the public participation process used in the development of the UPWP;
 - Any State or Federal Planning Emphasis Areas (PEAs) that have been identified;
 - A definition of “soft match” and the amount being “soft matched” for the UPWP; and
 - The MPO’s federally approved indirect cost rate (if applicable).



- Soft match (WPI Part IV Chapter 2):
 - “Section 120 of Title 23, U.S.C., permits a state to use certain toll revenue expenditures as a credit toward the non-federal matching share of all programs authorized by Title 23, (with the exception of Emergency Relief Programs) and for transit programs authorized by Chapter 53 of Title 49, U.S.C. This is in essence a "soft-match" provision that allows the federal share to be increased up to 100% to the extent credits are available.”
 - The “soft match” amount being utilized to match the FHWA funding in the UPWP is \$_____.

**It is highly recommended
that MPOs simply drop
this language into their
UPWPs.**



- FDOT will accept one of the following options for indirect cost rates:
 - 10% De Minimis (MPO must submit certification form)
 - Federally Approved Indirect Cost Rate (MPO must submit federally approved indirect cost rate agreement)
 - Actual costs incurred
- MPOs that will be reimbursed for indirect costs must state the indirect cost rate in the UPWP introduction.

Organization & Management

- This section consists of a narrative that discusses:
 - Identification of participants and a brief description of their respective role(s) in the metropolitan transportation planning process;
 - Discussion of the appropriate MPO agreements;
 - Identification of operational procedures and bylaws;
 - Any required forms, certifications, and assurances; and
 - A matrix that identified how each task relates to the federal planning factors (23 CFR 450.306), as well as any federal and/or state Planning Emphasis Areas (PEAs), if applicable.

UPWP Work Tasks

- Descriptions of the major work products and tasks the MPO proposes to undertake.
- Example Work Element sections:
 - Administration
 - Data Collection
 - Transportation Improvement Program (TIP)
 - Long Range Transportation Plan (LRTP)
 - Special Project Planning
 - Regional Planning
 - Public Participation
 - Systems Planning



- Each task in the UPWP is to be identified under an individual task sheet that includes:
 - Task number and title;
 - Purpose;
 - Previous work completed;
 - ~~Proposed methodology~~ Required Activities:
 - how the task will be performed and who will perform the task (i.e. agency/consultant);
 - Responsible agency or agencies;

Name
Change

UPWP Work Tasks – Task Sheets (cont.)



NEW

- (Cont.) Each task in the UPWP is to be identified under an individual task sheet that includes:
 - Proposed funding source(s) with anticipated costs (as identified in summary budget tables);
 - Must include all sources of federal and matching funds
 - **Soft match should not be provided by task, should be summarized in the Introduction**
 - A schedule that adequately describes the activities that will take place during the UPWP cycle, including milestones to measure progress, end product(s), and estimated completion date(s);
 - And an estimated budget detail upon which the MPO Liaison shall perform a cost analysis.



- The Estimated Budget Detail must be provided by task and by fiscal year.
- Must include detailed line-item estimated expenditures to support each task by fund source, under the following Budget Categories:
 - Personnel Services
 - Consultant Services
 - Travel
 - Other Direct Expenses (or Indirect Expenses, if MPO is utilizing an Indirect Cost Rate)



Applicable to MPOs charging all *direct* costs:

- MPOs are highly recommended to include all overhead and administrative costs in one task (or set of tasks) in the UPWP.
 - Ease of budgeting
 - Ensure eligibility of costs

UPWP

Task 1.1: Administration

- Personnel Services
- Consultant Services
- Travel
- Other Direct Expenses

UPWP

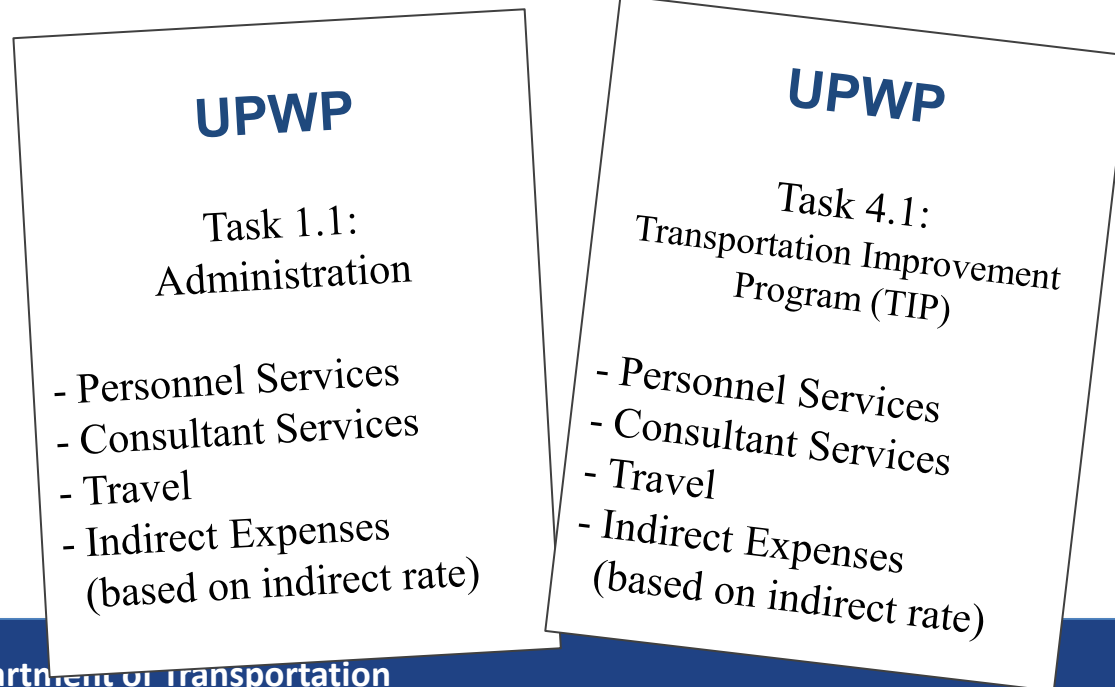
Task 4.1: Transportation Improvement Program (TIP)

- Personnel Services
- Consultant Services
- Travel
- Other Direct Expenses



Applicable to MPOs charging an *indirect rate*:

- MPOs charging an indirect rate will apply the rate across all of the tasks in the UPWP.



UPWP Work Task Examples

Example “Administration Task”

1 Task 1.1 Administration

Purpose: 2

To properly manage and carry out the continuous, cooperative, and comprehensive metropolitan transportation planning process for the MPO area.

Previous Work Completed: 3

Preparation and distribution of planning documents. Technical assistance and preparation of documents for MPO Board and committee meetings. Coordination with federal, state, and local partners. Preparation of contracts and agreements. Preparation of certification documents. Attendance at workshops and training sessions.

Required Activities: 4

- Technical assistance and staff support to MPO Policy Board and committees.
- Preparation and distribution of MPO materials (agenda packages, meeting minutes, resolutions, plans, documents, etc).
- Coordination with partner agencies, including FDOT, and provide staff support for joint meetings.
- Preparation and participation in annual Joint State-MPO Certification and quadrennial TMA Certification.
- Prepare and submit progress reports and invoices.
- Review and update agreements and MPO administrative documents.
- Maintain financial records and perform an annual single audit.
- MPO staff and Board member travel and participation at general trainings, conferences, and meetings, including those of the MPOAC.
- Selecting and managing consultant support.
- Purchase of office supplies, postage, and equipment.

End Product: 6

MPO Board and committee meetings

Joint State-MPO Certification

Invoices and progress reports

Annual single audit

MPOAC & General meetings, workshops, trainings

Maintenance of financial records

Completion Date:

Monthly

Jan. 2017; Jan. 2018

Quarterly

Nov. 2016; Nov. 2017

As needed

Ongoing

5

Responsible Agency: MPO

1 Task number and title;

2 Purpose;

3 Previous work completed;

4 Required Activities;

5 Responsible agency or agencies;

6 A schedule that adequately describes the activities that will take place during the UPWP cycle, including milestones to measure progress, end product(s), and estimated completion date(s);

UPWP Work Task Examples

Example “Administration Task” - continued

7 Year 1 - FY 2016/17							
Responsible Agencies	Funding Sources						
	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disadv.	Total
MPO Staff	\$188,000	-	\$37,600	\$4,700	\$4,700	-	\$235,000
Total Cost to MPO	\$188,000	-	\$37,600	\$4,700	\$4,700	-	\$235,000
Year 2 - FY 2017/18							
Responsible Agencies	Funding Sources						
	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disadv.	Total
MPO Staff	\$188,000	-	\$37,600	\$4,700	\$4,700	-	\$235,000
Total Cost to MPO	\$188,000	-	\$37,600	\$4,700	\$4,700	-	\$235,000
Grand Total:							\$470,000

7 Proposed funding source(s) with anticipated costs (as identified in summary budget tables);

Totals must match amounts listed in the estimated budget detail.

*Note: Soft match not included in the summary task funding source table.

UPWP Work Task Examples



Example Estimated Budget Detail for “Administration Task” for MPO Charging All Actual Costs

8 Task 1.1. Administration Estimated Budget Detail for FY 2016/17								
Budget Category	Budget Category Description	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disad.	Total
A. Personnel Services								
	MPO staff salaries, fringe benefits, and other deductions	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
	Subtotal:	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
B. Consultant Services								
	Contract/Consultant Services	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
C. Travel								
	Travel Expenses	\$7,200	-	\$1,440	-	-	-	\$8,640
	Subtotal:	\$7,200	-	\$1,440	-	-	-	\$8,640
D. Other Direct Expenses								
	Accounting/Auditing Services	\$14,800	-	\$1,960	-	-	-	\$16,760
	Staffing Services	\$16,274	-	\$3,000	-	-	-	\$19,274
	Attorney Services	\$14,800	-	\$1,960	-	-	-	\$16,760
	Office Building: Lease	\$9,712	-	\$2,424	-	-	-	\$12,136
	Office Building: Repair and Maintenance	\$1,594	-	\$398	-	-	-	\$1,992
	Office Building: Insurance	\$1,588	-	\$396	-	-	-	\$1,984
	Office Building: Utilities	\$1,588	-	\$396	-	-	-	\$1,984
	Office Equipment: Lease	\$1,588	-	\$396	-	-	-	\$1,984
	Communication Expenses	\$1,588	-	\$396	-	-	-	\$1,984
	Office Supplies	\$1,588	-	\$396	-	-	-	\$1,984
	Postage and Freight	\$1,588	-	\$396	-	-	-	\$1,984
	Printing and Binding Services	\$1,588	-	\$396	-	-	-	\$1,984
	Vehicle Allowance	\$2,556	-	\$512	-	-	-	\$3,068
	Books, Publications, Subscriptions, Memberships	\$1,588	-	\$396	-	-	-	\$1,984
	Subtotal:	\$72,440	-	\$13,422	-	-	-	\$85,862
	Total:	\$188,000	-	\$37,600	\$4,700	\$4,700	-	\$235,000

- 8 An estimated budget detail, by fiscal year, upon which the MPO Liaison shall perform a cost analysis.

Line items under each budget category must be detailed enough to determine allowability, reasonableness, and necessity.

Totals must match amounts listed in the proposed funding sources tables.

UPWP Work Task Examples



Example Estimated Budget Detail for “Administration Task” for MPO Charging All Actual Costs

- continued

8 Task 1.1. Administration Estimated Budget Detail for FY 2017/18								
Budget Category	Budget Category Description	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disad.	Total
A. Personnel Services								
	MPO staff salaries, fringe benefits, and other deductions	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
	Subtotal:	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
B. Consultant Services								
	Contract/Consultant Services	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
C. Travel								
	Travel Expenses	\$7,200	-	\$1,440	-	-	-	\$8,640
	Subtotal:	\$7,200	-	\$1,440	-	-	-	\$8,640
D. Other Direct Expenses								
	Accounting/Auditing Services	\$						
	Staffing Services	\$						
	Attorney Services	\$						
	Office Building: Lease	\$						
	Office Building: Repair and Maintenance	\$						
	Office Building: Insurance	\$						
	Office Building: Utilities	\$						
	Office Equipment: Lease	\$						
	Communication Expenses	\$						
	Office Supplies	\$						
	Postage and Freight	\$1,588	-	\$396	-	-	-	\$1,984
	Printing and Binding Services	\$1,588	-	\$396	-	-	-	\$1,984
	Vehicle Allowance	\$2,556	-	\$512	-	-	-	\$3,068
	Books, Publications, Subscriptions, Memberships	\$1,588	-	\$396	-	-	-	\$1,984
	Subtotal:	\$72,440	-	\$13,422	-	-	-	\$85,862
	Total:	\$188,000	-	\$37,600	\$4,700	\$4,700	-	\$235,000

- 8 An estimated budget detail, by fiscal year, upon which the MPO Liaison shall perform a cost analysis.

COST ANALYSIS CERTIFICATION AS REQUIRED BY SECTION 216.3475, FLORIDA STATUTES:

I certify that the cost for each line item budget category has been evaluated and determined to be allowable, reasonable, and necessary as required by Section 216.3475, F.S. Documentation is on file evidencing the methodology used and the conclusions reached.

District MPO Liaison (Grant Manager) Name

Signature

Date

Further guidance will be made available in the MPO Handbook.

UPWP Work Task Examples



Example Estimated Budget Detail for “Planning Task” for MPO Charging Federally-Approved Indirect Cost Rate of 25%

Task 1.1. Administration Estimated Budget Detail for FY 2016/17								
Budget Category	Budget Category Description	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disad.	Total
A. Personnel Services								
	MPO staff salaries, fringe benefits, and other deductions	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
	Subtotal:	\$108,360	-	\$22,738	\$4,700	\$4,700	-	\$140,498
B. Consultant Services								
	Contract/Consultant Services	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
C. Travel								
	Travel Expenses	\$7,200	-	\$1,440	-	-	-	\$8,640
	Subtotal:	\$7,200	-	\$1,440	-	-	-	\$8,640
D. Indirect Expenses								
	25% Federally-approved Indirect cost rate	\$28,890	-	\$6,044.50	\$1,175	\$1,175	-	\$37,284.50
	Subtotal:	\$28,890	-	\$6,044.50	\$1,175	\$1,175	-	\$37,284.50
	Total:	\$144,450	-	\$30,222.50	\$5,875	\$5,875	-	\$186,422.50

Indirect expense values generated by applying **25%** indirect rate to the sum of the direct expenses (Personnel, Consultant, Travel expenses).

*MPO must still provide estimated budget detail for both fiscal years and the MPO Liaison must still perform cost analysis.

Totals must match amounts listed in the proposed funding sources tables.

UPWP Work Task Examples

Example “Planning Task”

① Task 4.1 Transportation Improvement Program (TIP) Development		
Purpose: ② To annually update the five-year Transportation Improvement Program (TIP) and amend as needed, consistent with federal and state requirements.		
Previous Work Completed: ③ Development of the FY 15/16-19/20 TIP and FY 16/17-20/21 TIP, and all required amendments.		
Required Activities: ④ <ul style="list-style-type: none">• Annually develop, update and publish the TIP, a five-year program of transportation improvements in the MPO area, in accordance with federal and state requirements and the MPO's Public Participation Plan.• Perform amendments to the adopted TIP as necessary.• Utilize and maintain an interactive TIP tool.• Publish annual listing of previously obligated projects.		
End Product: ⑥ FY 2016/17 – 2021/22 TIP	Completion Date: Adoption in June 2016	⑤ Responsible Agency: MPO
FY 2017/18 – 2022/23 TIP	Adoption in June 2017	
TIP Amendments	As needed	

- ① Task number and title;
- ② Purpose;
- ③ Previous work completed;
- ④ Required Activities;
- ⑤ Responsible agency or agencies;
- ⑥ A schedule that adequately describes the activities that will take place during the UPWP cycle, including milestones to measure progress, end product(s), and estimated completion date(s);

UPWP Work Task Examples

Example “Planning Task” - continued

7 Year 1 – FY 2016/17						
Responsible Agencies	Funding Sources					
	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Total
MPO Staff	\$15,000	-	\$10,000	\$1,250	\$1,250	\$20,750
Consultant	\$5,000	\$5,000	-	-	-	\$10,000
Other Agency	-	-	-	-	-	-
Total Cost to MPO	\$20,000	\$5,000	\$10,000	\$1,250	\$1,250	\$37,500
Year 2 – FY 2017/18						
Responsible Agencies	Funding Sources					
	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Total
MPO Staff	\$15,000	-	\$10,000	\$1,250	\$1,250	\$20,750
Consultant	\$5,000	\$5,000	-	-	-	\$10,000
Other Agency	-	-	-	-	-	-
Total Cost to MPO	\$20,000	\$5,000	\$10,000	\$1,250	\$1,250	\$37,500
Grand Total:						\$75,000

7 Proposed funding source(s) with anticipated costs (as identified in summary budget tables);

Totals must match amounts listed in the estimated budget detail.

*Note: Soft match **not** included in the summary task funding source table.

UPWP Work Task Examples



Example Estimated Budget Detail for “Planning Task” for MPO Charging All Actual Costs

Task 4.1. Transportation Improvement Program								
8 Estimated Budget Detail for FY 2016/17								
Budget Category	Budget Category Description	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disad.	Total
A. Personnel Services								
	MPO staff salaries, fringe benefits, and other deductions	\$15,000	-	\$10,000	\$1,250	\$1,250	-	\$27,500
	Subtotal:	\$15,000	-	\$10,000	\$1,250	\$1,250	-	\$27,500
B. Consultant Services								
	Contract/Consultant Services	\$5,000	\$5,000	-	-	-	-	\$10,000
	Subtotal:	\$5,000	\$5,000	-	-	-	-	\$10,000
C. Travel								
	Travel Expenses	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
D. Other Direct Expenses								
	Other Direct Expenses	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
	Total:	\$20,000	\$5,000	\$10,000	\$1,250	\$1,250	-	\$37,500

- 8 An estimated budget detail, by fiscal year, upon which the MPO Liaison shall perform a cost analysis.

Totals must match amounts listed in the proposed funding sources tables.

UPWP Work Task Examples



Example Estimated Budget Detail for “Planning Task” for MPO Charging All Actual Costs

Task 4.1. Transportation Improvement Program								
8 Estimated Budget Detail for FY 2017/18								
Budget Category	Budget Category Description	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disad.	Total
A. Personnel Services								
	MPO staff salaries, fringe benefits, and other deductions	\$15,000	-	\$10,000	\$1,250	\$1,250	-	\$27,500
	Subtotal:	\$15,000	-	\$10,000	\$1,250	\$1,250	-	\$27,500
B. Consultant Services								
	Contract/Consultant Services	\$5,000	\$5,000					
	Subtotal:	\$5,000	\$5,000					
C. Travel								
	Travel Expenses	-	-					
	Subtotal:	-	-					
D. Other Direct Expenses								
	Other Direct Expenses	-	-					
	Subtotal:	-	-					
	Total:	\$20,000	\$5,000	\$10,000	\$1,250	\$1,250	-	\$37,500

- 8 An estimated budget detail, by fiscal year, upon which the MPO Liaison shall perform a cost analysis.

COST ANALYSIS CERTIFICATION AS REQUIRED BY SECTION 216.3475, FLORIDA STATUTES:

I certify that the cost for each line item budget category has been evaluated and determined to be allowable, reasonable, and necessary as required by Section 216.3475, F.S. Documentation is on file evidencing the methodology used and the conclusions reached.

District MPO Liaison (Grant Manager) Name

Signature

Date

Further guidance will be made available in the MPO Handbook.

UPWP Work Task Examples



Example Estimated Budget Detail for “Planning Task” for MPO Charging Federally-Approved Indirect Cost Rate of 25%

Task 4.1. Transportation Improvement Program Estimated Budget Detail for FY 2016/17								
Budget Category	Budget Category Description	FHWA (PL)	FHWA (SU)	FTA 5303	FTA State Match	FTA Local Match	Trans. Disad.	Total
A. Personnel Services								
	MPO staff salaries, fringe benefits, and other deductions	\$15,000	-	\$10,000	\$1,250	\$1,250	-	\$27,500
	Subtotal:	\$15,000	-	\$10,000	\$1,250	\$1,250	-	\$27,500
B. Consultant Services								
	Contract/Consultant Services	\$5,000	\$5,000	-	-	-	-	\$10,000
	Subtotal:	\$5,000	\$5,000	-	-	-	-	\$10,000
C. Travel								
	Travel Expenses	-	-	-	-	-	-	-
	Subtotal:	-	-	-	-	-	-	-
D. Indirect Expenses								
	25% Federally-Approved Indirect cost rate	\$5,000	\$1,250	\$2,500	\$312.50	\$312.50		\$18,750
	Subtotal:	\$5,000	\$1,250	\$2,500	\$312.50	\$312.50		\$18,750
	Total:	\$25,000	\$6,250	\$12,500	\$1,562.50	\$1,562.50	-	\$46,875

Indirect expense values generated by applying **25%** indirect rate to the sum of the direct expenses (Personnel, Consultant, Travel expenses).

*MPO must still provide estimated budget detail for both fiscal years and the MPO Liaison must still perform cost analysis.

Totals must match amounts listed in the proposed funding sources tables.



Summary Budget Tables - Agency Participation

- Table: Agency Participation
 - Identifies participating agencies with respective funding commitments by task with line and column totals.
 - There should be a separate column indicating the amount that will be billed to consultants.

Separate Agency Participation and Funding Source tables should be provided for each Fiscal Year of the UPWP.

**TABLE 3
AGENCY PARTICIPATION
FISCAL YEAR 2015/2016 UPWP**

	Federal Highway Administration (FHWA)	FDOT	FTA	Sarasota County	Manatee County	CTD	TOTAL	Funds For Consultant Services Included In Task Totals
SECTION 1.00 ADMINISTRATION								
1.01 Program Management & Development	\$161,120	\$161,120					\$322,240	
1.02 Staff Training & Development	\$11,054	\$2,438					\$13,492	
1.03 Maintenance and Purchase of Equipment	\$6,332	\$1,397					\$7,729	
1.04 Legislative Issues/Positions	\$0	\$0		\$1,000	\$1,000		\$2,000	
SECTION 2.00 SYSTEMS MONITORING								
2.01 Land Use Monitoring	\$42,056	\$9,276					\$51,332	
2.02 Highway Systems Monitoring	\$38,415	\$8,473					\$46,888	
2.03 Non-Highway System Monitoring	\$0	\$7,000	\$56,000	\$3,500	\$3,500		\$70,000	
6.02 FTA Attributable Items	\$0	\$2,837	\$22,696	\$1,419	\$1,419		\$28,370	
6.03 Transportation Disadvantaged Program Attributable Items	\$0	\$0				\$6,830	\$6,830	
COLUMN TOTALS	\$731,703	\$192,362	\$247,854	\$16,491	\$16,491	\$53,078	\$1,258,012	\$236,927
SECTION 7.00 STATE SUPPORT								
7.01 State Soft Match Support (PL)		\$161,380					\$161,380	
7.02 State Cash Match Support (FTA)		\$30,982					\$30,982	
TOTAL	\$731,703	\$192,362	\$247,854	\$16,491	\$16,491	\$53,078	\$1,258,012	\$236,927
TOTAL CASH AND NON CASH ALLOCATION							=	\$1,258,012
LESS NON CASH MATCH							=	\$161,380
TOTAL CASH AVAILABLE TO PROGRAM							=	\$1,096,632

 FDOT Non-Cash Match to FHWA Funds
 FDOT Cash Match to FTA Funds

T-3

Sarasota/Manatee MPO
FY 2014/2015-2015/2016-Adopted April 28, 2014

Summary Budget Tables – Funding Source

- Table: Funding Source
 - Lists funding by program source for each task with line and column totals.

TABLE 4
FUNDING SOURCE
FISCAL YEAR 2015/2016 UPWP

	FHWA PL		FTA Section 5305(d)			CTD	Legislative Issues Funding - \$1,000 Per County	Total
	Federal 81.93%	State 18.07%	Federal 80%	State 10%	Local-10% (5% Each County)	State 100%		
SECTION 1.00 ADMINISTRATION								
1.01 Program Management & Development	\$181,123	\$39,947						\$221,070
1.02 Staff Training & Development	\$11,054	\$2,438						\$13,492
1.03 Maintenance and Purchase of Equipment	\$6,332	\$1,397						\$7,729
1.04 Legislative Issues/Positions							\$2,000	\$2,000
SECTION 2.00 SYSTEMS MONITORING								
2.01 Land Use Monitoring	\$42,056	\$9,276						\$51,332
2.02 Highway Systems Monitoring	\$38,415	\$8,473						\$46,888
5.03 Regional and Statewide Activities	\$20,541	\$5,654						\$26,195
SECTION 6.00 PUBLIC INVOLVEMENT/PUBLIC INFORMATION								
6.01 FHWA Attributable Items	\$18,661	\$4,116						\$22,777
6.02 FTA Attributable Items			\$22,695	\$2,837	\$2,837			\$28,370
6.03 Transportation Disadvantaged Program Attributable Items						\$6,830		\$6,830
COLUMN TOTALS	\$731,703	\$161,380	\$247,854	\$30,982	\$30,982	\$53,078	\$2,000	\$1,253,184
SECTION 7.00 STATE SUPPORT								
7.01 State Soft Match Support (PL)		\$161,380						\$161,380
7.02 State Cash Match Support (FTA)								\$30,982
TOTAL	\$731,703	\$161,380	\$247,854	\$30,982	\$30,982	\$53,078	\$2,000	\$1,257,979

FDOT Non-Cash Match to FHWA Funds
FDOT Cash Match to FTA Funds

T-4

Sarasota/Manatee MPO
FY 2014/2015-FY 2015/2016 Adopted April 28, 2014

Additional Elements

- Joint Certification Package
- Statements & Assurances
- Appendices:
 - Additional planning activities taking place in the MPO area.
 - Includes FDOT District planning activities, for informational purposes.
 - Federally-approved indirect cost allocation plan (if applicable)
 - Resolution with travel rates (if different than state rates)

Questions

Next:

UPWP Amendments & Modifications

Next Steps – UPWP Development, Review, and Approval

MPO Agreement

Roll-Out & Training

Questions also welcome at

Sean.Santalla@dot.state.fl.us

UPWP Amendments & Modifications



NEW

- Amendments will be required for revisions that:
 - Change the approved FHWA-funded budget (i.e. PL, SU, etc.).
 - Change the scope of the FHWA funded work task(s).
 - Add or delete a work task.

UPWP Amendments & Modifications



NEW

- Modifications may be done for revisions that:
 - Do **not** change the approved FHWA-funded budget (i.e. PL, SU, etc.).
 - Do **not** change the scope of the FHWA funded work task(s).
 - Add or delete a work task.
- Example modification: shifting funds from one existing task to another, without changing the scope of either task.

UPWP Amendments & Modifications



NEW

- The following attachments are required to be included with UPWP revisions:
 - Revised UPWP Summary Budget Table(s) – Original & Proposed
 - Revised UPWP Task Sheet(s) – Original & Proposed
 - **Must include the revised Estimated Budget Detail**
 - MPO Resolution and/or MPO meeting minutes approving the UPWP amendment (***only applicable to amendments***)
- Continue to use the UPWP Revision Form for both amendments & modifications.

Next Steps – UPWP Development, Review, and Approval

- **December/January:**
 - Central Office provides Planning Emphasis Areas.
 - Central Office provides the Check PL sheet.
 - Districts conduct UPWP kickoff meetings with MPOs.
- No later than **March 15:**
 - MPO transmits draft UPWP according to distribution table in the MPO Handbook.
- Within **5 working days:**
 - District distributes draft UPWP according to distribution table in MPO Handbook.



Next Steps – UPWP Development, Review, and Approval

- No later than **April 15**:
 - District provides FDOT and other agency comments to the MPO.
- No later than **May 15**:
 - MPO addresses comments and adopts the final UPWP, with completed cost analysis.
 - MPO distributes final UPWP according to distribution table in the MPO Handbook.
- Within **10 working days**:
 - District reviews final UPWP and identifies any outstanding issues.
 - District distributes final UPWP according to distribution table in the MPO Handbook.



Next Steps – UPWP Development, Review, and Approval

- No later than **June 1**:
 - District transmits final UPWP to FHWA, FTA, and Central Office recommending approval, disapproval, or conditional approval.
- No later than **June 30**:
 - MPO and District must resolve any outstanding issues or risk a delay in funding.
 - FHWA and FTA approve the UPWP.



UPWP Review – Cost Eligibility

- Cost eligibility must be taken into account as part of development and review of the UPWP by the MPO and MPO Liaisons.
- Costs will be eligible for FDOT/FHWA participation provided that the costs:
 - Are for work performed for **activities eligible** under the section of Title 23 US Code;
 - Are **verifiable** from the State DOT's or sub-recipient's records;
 - Are **necessary** and **reasonable** for proper and efficient accomplishment of the project;
 - Are **included** in the approved UPWP (or amendment);
 - And were not incurred prior to FHWA authorization.

UPWP Review – Cost Eligibility

- Determination of **activities eligible**:
 - Eligible activities as defined under the section of Title 23 USC.
 - *Example*: PL funds are eligible for activities to carry out the metropolitan transportation planning process (23 USC §134), as apportioned in 23 USC §104.
 - *Example*: STP funds eligible only for “surface transportation planning programs” (23 USC §133(b)(10)).
 - MPO Liaisons should use the US Code & Work Program Instructions for information on eligible activities.

UPWP Review – Cost Eligibility

- MPO Liaison ultimately responsible for determining whether a cost is **allowable**, **necessary** and **reasonable** for proper and efficient accomplishment of the project.
- Allowable & unallowable costs:
 - 2 CFR §200 Subpart E – Cost Principles
 - DFS Reference Guide for State Expenditures
 - Examples:
 - Refreshments: not reimbursable with funds that pass through the state treasury.
 - Travel: as per 112.061(14), FS, MPOs are eligible to establish their own per diem, meals, and mileage rates.
 - Equipment: FHWA approval required for purchase/lease above \$5,000.

UPWP Review

- MPO Liaison should use the checklist in the Handbook to perform the review of the draft UPWP.
- The *cost analysis* must be performed prior to execution of the MPO agreement.
 - Recommended: with adoption of the UPWP.
 - MPO Liaisons can consider familiarity with the development of the UPWP and historical data in determining reasonableness of the UPWP costs.

MPO Agreement

- Central Office General Counsel is finalizing development of a new MPO Agreement.
- Benefits of the new MPO Agreement:
 - Covers all FHWA funds being received by the MPO for metropolitan planning.
 - Meets all FHWA and State of Florida DFS contracting requirements.
 - Agreement timeframe will match the UPWP cycle.
 - One agreement per MPO for all FHWA funds for metropolitan planning (PL, SU, etc).
- MPOs will be expected to terminate existing agreements effective June 30, 2016, and execute new agreements effective July 1, 2016.
- **Further instruction forthcoming.**

Roll-Out & Training

- Training modules:
 - UPWP Requirements – December 2015 ✓
 - New Agreement & Invoicing Process – March 2016
 - Work Program & Encumbering – April 2016
 - Fiscal Monitoring – April 2016
- Two opportunities for in-person training:
 - **January/February – District site visits**
 - TBD: FDOT/FHWA/FTA/MPO Statewide Meeting
- Additional training: FCCM Training **(Required)**

Roll-Out & Training

- MPO Agreement & Invoicing website:
<http://www.dot.state.fl.us/planning/policy/metrosupport/invoicing/default.shtm>
- Will include guidance documents, trainings, and Frequently Asked Questions.
 - MPO Liaisons & MPOs are encouraged to submit questions for inclusion in the FAQ's.
 - Please submit to Sean.Santalla@dot.state.fl.us.

Florida Certified Contract Manager Training

- **Only applicable to state employees**
- **Required** for all grant managers responsible for contracts in excess of \$100,000 (215.971, Florida Statutes); **includes MPO Liaisons and Liaison Administrators.**
- Training held by Department of Management Services and Department of Financial Services.
 - DMS/DFS developing a plan for implementation of the training across the state.

Contact information for all of the MPO Liaisons has been provided to the training team. DMS/DFS will be inviting each of the Liaisons when training is available in their area. **MPO Liaisons must make every effort to attend this training when it becomes available.**

Questions

Questions also welcome at
Sean.Santalla@dot.state.fl.us.

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thank
you!